# IMFNS

# Outcomes Assessment

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# Foreword

The International Model Forest Network Secretariat (IMFNS) has played an important role in the successful establishment of all five individual model forests reviewed in this report and in effecting change in the approaches and attitudes of their boundary partners. The main interventions used to establish these international model forests include: capacity development, sustained and regular support to local partners involved in establishing individual model forests, and network development. This study concludes that IMFNS' activity in these areas has resulted in the successful development of all five developing country model forests. The progress made by partners involved in developing these forests demonstrates a high level of achievement. The success of individual model forests also highlights the broad applicability of the model forest concept across cultural boundaries.

A number of factors outside IMFNS' control can also affect model forest development. These factors include: political and economic stability; willingness of national governments to experiment with devolution of decision-making authority to local communities; support from government officials at all levels; willingness and ability of boundary partners to provide and/or identify human and financial resources; willingness to experiment and try new ideas and approaches; recognition of the need for sustainable forest management; respect and acceptance by government of the local community's viewpoint; institutions with adequate experience and knowledge; and local advocates to champion the concept. There are other conditions that can greatly inhibit the development of model forests including systemic corruption, poor communication systems, and the lack of organizational capacity and skills at the local level.

This study was commissioned by the International Model Forest Network (IMFN) Steering Committee to record and summarize the accomplishments and lessons learned from efforts to apply the model forest concept in several developing countries. The study is not a management review since IMFNS was the subject of a comprehensive review of all the International Development Research Centre's (IDRC) International Secretariats in late 1998. The evaluation report, *Learning Partnerships: A Review of IDRC Secretariats*, praised IMFNS as one of the most effectively managed Secretariats in the study. Further, the study reported that, in terms of meeting stakeholder expectations, IMFN was rated five on a scale of one (low) to five (completely). In addition, a 1998 internal audit report provided evidence for the fact that IMFNS' management is excellent.

This study began and was contracted as a formal partnership between the IDRC Evaluation Unit and The Governance Network. The researchers owe a special thanks to IMFNS staff who gave generously of their time and who exercised considerable patience during the first-time testing and application of an experimental methodology, *Outcome Mapping*, to an *expost* evaluation. We would also like to thank the Board Members and officials of the five model forests whose thoughtful responses to our questionnaires formed the basis of this study.

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# Introduction

The purpose of this study is to assess the experience and outcomes of the first phase (1995-1999) of the International Model Forest Network (IMFN) and to assess the performance of the International Model Forest Network Secretariat (IMFNS) in supporting the achievement of these outcomes. This assessment will provide lessons for IMFNS, so that it can make future model forest initiatives in diverse geographical settings as effective as possible. It will also submit information on the roles the Secretariat has fulfilled and the interventions it has employed.

Based on previous experience and reports, the Secretariat has accomplished Herculean work with scant resources – an Executive Director and two staff. Its main purpose was to build model forests and the network and, in the course of doing so, to change the behaviours of the individuals and organizations involved in model forests. It was, therefore, concluded that a traditional quantifiable input/output evaluation would be of limited value in determining what roles IMFNS has played in supporting the achievement of outcomes by its boundary partners, and how these roles have changed since IMFNS' establishment in 1995.

The methodology chosen to evaluate the outcomes achieved by IMFNS' external partners and the role of IMFNS in supporting the success of these outcomes is *Outcome Mapping* – an approach developed by the International Development Research Centre's (IDRC) Evaluation Unit, in Ottawa, Canada. *Outcome Mapping* is a tool that can be used to assess the contributions that development initiatives make to the achievement of significant and lasting changes (outcomes) in its boundary partners. **Boundary partners** include those individuals, groups or organizations with whom the initiative interacts directly and with whom the initiative can anticipate some opportunities for influence. **Outcomes** are defined as changes in behaviour, relationships, activities and/or actions that the initiative was instrumental in bringing about.

This approach lends itself particularly well to model forests as they are about people, communities and partnerships. This requires that we go well beyond simple measures of inputs and outputs, productivity or other economic objectives which more traditional evaluation processes are designed to measure. By focusing on the change in behaviour and accomplishments of IMFNS' boundary partners, we are able to measure the results the Secretariat has achieved within its sphere of influence and provide feedback about its efforts so that it can improve its future performance. *Outcome Mapping* will help answer the following questions:

- Who has IMFNS reached? (Identification of IMFNS' boundary partners)
- How have the behaviour, relationships, activities, and/or actions of IMFNS' partners changed? (Identification of the level of achievement of outcomes IMFNS has encouraged in its boundary partners)
- What has been the nature of IMFNS' interactions with its partners? (Description of the strategies IMFNS has employed in order to encourage positive change in its boundary partners and an indication of how well these strategies have worked)

*Outcome Mapping* is a new and evolving methodology. This report represents one of the first applications of *Outcome Mapping* as an evaluation tool. As with the application of any new

methodology, or even a tested one in a new application, some methodological limitations and challenges can be anticipated.

The report is divided into five sections: Section I provides a brief background of IMFN. Section II describes the methodology used for this study. Section III provides an analysis of the outcomes achieved by IMFNS' boundary partners. Section IV follows with an assessment of IMFNS' activities in supporting the achievement of these outcomes. Finally, Section V concludes with some lessons and feedback on how the Secretariat can improve its future performance impact.

# I. Background

## *The International Model Forest Network*

The *model forest* concept is based on the philosophy that forest ecosystems provide invaluable benefits to society and that, in the future, these ecosystems must be managed so as to ensure that the benefits remain available for future generations.

The International Model Forest Network (IMFN) was announced by Canada at the Earth Summit in Rio de Janeiro in 1992. Designed to build on the Canadian Model Forest Network[1], IMFN aims to facilitate international consensus and action on the sustainable development of forests in all eco-regions of the world. The Network is based on building working partnerships among stakeholders, applying and sharing new technologies and management concepts, and developing programs that balance environmental conservation with social and economic objectives from the perspective of local needs and global concerns.

IMFN is driven by the strong belief that forests can be managed in a sustainable way to safeguard the economic, environmental and social needs of current and future generations. IMFN assumes that an inclusive partnership of all agencies, organizations, communities, and individuals who use the forest resource, each having their own specific understanding and appreciation of it, can create the conditions that will lead to the improved and sustainable utilization of all forest resources.[2] Experience to date, including the rapid growth of the network, supports the fundamental optimism about this endeavour.

The International Model Forest Network Secretariat (IMFNS) was established in 1995 to support the activities of the Network and is currently housed within the International Development Research Centre (IDRC) in Canada. The Secretariat provides the central day-to-day coordination for the Network and plays a critical role in facilitating the work of model forests around the globe. The objective of the Secretariat is to foster cooperation and collaboration in advancing management, conservation, and sustainable development of forest resources through a worldwide network of working model forests. Specifically, the Secretariat:

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[1] For more information on Canada's Model Forest Program, see *Canada's Model Forest Program: Achieving Sustainable Forest Management Through Partnerships* (Ottawa: Natural Resources Canada, 1999).

[2] For further information, see *Model Forest Development Guide* (Ottawa: International Model Forest Network Secretariat, 2000).

- Encourages international cooperation and the exchange of ideas relating to sustainable forestry;
- Supports international cooperation in critical aspects of forest science and social science that underlie the search for new models of forest management; and,
- Supports ongoing international discussions on the criteria and principles of sustainable development.

The Secretariat serves as a channel for the introduction of new ideas and technologies, the use of scientific research results in improving the performance and output of model forests, and the planning and organization of workshops, seminars and discussions. The Secretariat's tasks include promotion, coordination, administration, fund-raising, technical advice and guidance, and public relations.

The Network now includes 21 model forests around the world, totalling over 12 million hectares (see Table 1 on the following page). While each model forest may be small on its own, collectively they are not, indicating that they may well be a springboard to positively influencing the sustainable management of forests and natural resources on a global scale. More model forests are at various developmental stages in Argentina, Australia, Chile, China, Costa Rica, Indonesia, Japan, Myanmar, the Philippines, and Thailand.

To be sure, there have been some attempts to develop model forests that have met with less success than others, such as the attempts in Ecuador and Malawi. The data gathering and interview process resulted in some important lessons taught by these experiences. These lessons are summarized in the concluding section.

For the purpose of this report, five model forests supported by IMFNS in developing countries were chosen to be assessed using *Outcome Mapping*. They are:

- Chiloe Model Forest in Chile;
- Chihuahua Model Forest in Mexico;
- Monarch Butterfly Model Forest in Mexico;
- Calakmul Model Forest in Mexico; and,
- Gassinski Model Forest in Russia.

As the establishment of each of these model forests required substantial support and assistance from IMFNS, they provide valuable insights about the contributions that IMFNS has made to the outcomes achieved. The decision was made to exclude model forests in Canada, the USA and Japan, as they needed considerably less support and assistance from IMFNS.

## Table 1: EXISTING Model Forests

| *Model Forest* | Country | Hectares |
|---|---|---|
| Foothills Model Forest | Canada | 2,750,000 |
| Eastern Ontario Model Forest | Canada | 1,530,000 |
| Manitoba Model Forest | Canada | 1,050,000 |
| Lake Abitibi Model Forest | Canada | 1,100,000 |
| Western Newfoundland | Canada | 923,000 |
| Ishikana Sorachi Model Forest | Japan | 806,000 |
| Monarch Butterfly Model Forest | Mexico | 795,000 |
| Fundy Model Forest | Canada | 419,300 |
| Long Beach Model Forest | Canada | 400,000 |
| Gassinski Model Forest | Russia | 385,000 |
| Calakmul Model Forest | Mexico | 380,000 |
| Prince Albert Model Forest | Canada | 360,000 |
| Shimanto-qawa Model Forest | Japan | 296,000 |
| Waswanapi Cree Model Forest | Canada | 209,600 |
| Hayfork Model Forest | USA | 203,000 |
| McGregor Model Forest | Canada | 181,000 |
| Chiloe Model Forest | Chile | 173,000 |
| Applegate Model Forest | USA | 115,000 |
| Bas-Saint-Laurent Model Forest | Canada | 113,100 |
| Chihuahua Model Forest | Mexico | 110,000 |
| Cispus Model Forest | USA | 60,000 |
| **Total** | | **12,359,000** |

### Chiloe Model Forest, Chile

Established in 1998, the Chiloe Model Forest covers 173,000 hectares in the middle of the Island of Chiloe, in the Southern coastal region of Chile. It is an ecologically important site, as the island constitutes a whole ecosystem and hosts species that are particular to that region. The Chiloe Model Forest encompasses private agricultural land, undeveloped stands of indigenous trees, and a national park. It was in late 1995 that the Chilean government, on the basis of significant degradation of its forested areas, first expressed interest in the model forest concept.

The model forest developed in Chiloe now receives support from a wide partnership base, including government and regional agencies, the Catholic Church, environmental NGOs, universities, community associations, indigenous groups, and private forest land owners. Two of the stated industrial development projects of the Chiloe Model Forest are the processing of logs harvested from the forest and the drying of the lumber resulting from that process. The overall objective of the program is to contribute to the preservation and sustainable use of the local forest ecosystem, thus ensuring conservation of its bio-diversity and environment in general, while improving the living conditions of rural families and indigenous communities.

### Chihuahua Model Forest, Mexico

The 110,000-hectare Model Forest of Chihuahua is located in the west central part of the State of Chihuahua and is part of the temperate mountainous ecoregion that stretches across northern Mexico and the southern United States. The forest is made up primarily of a mixture of pine and oak, with some Douglas fir, fir and madrone. Besides commercially productive forestlands, there are small-scale fishing and hunting activities. The state railroad runs through the model forest and has long played an important role in forest practices and tourism development.

The area's rural people are mostly Tarahumara Indians, while the Mestizos, whose traditional employment relates to forestry, live in the urban centers of San Juanito and Creel. The growing population has placed additional pressures on the forests and has led to their deterioration. In attempting to reduce human impact on the forests, the model forest aims to improve forest management techniques; conserve the biodiversity of the region; develop alternative opportunities and reduce pressure on the forests; and encourage cultural awareness of the environment through educational activities. To these ends, the model forest partnership includes members of the environment, government, industry and academic communities, as well as participants from the community at large.

### Monarch Butterfly Model Forest, Mexico

The Monarch Butterfly Model Forest covers 795,000 hectares of land that bridges the states of Michoacan and Mexico. This region, one of the poorest in the country, is home to more than 900,000 people. Its forests also provide a refuge for millions of monarch butterflies each winter. Not only will the model forest help preserve one of the monarch butterfly's winter habitats, it will focus on organizing the surrounding communities to manage forest resources more effectively. Various activities will be undertaken with the goal of raising people's understanding of environmental processes and the importance of sustainable forest management.

These activities will encourage economic development while also supporting scientific research on the region's natural resources. New technologies will be tested with the goal of improving forestry and farming productivity, while helping to reduce negative environmental impacts and conserve biodiversity.

## Calakmul Model Forest, Mexico

The 380,000-hectare Model Forest of Calakmul is located in the southeastern state of Campeche and is part of the largest remaining area of tropical rain forest in Mexico. The forest is primarily a mixture of high and low tropical rain forest. The topography is generally low and flat, with low mountains in the south bordering Guatemala. The area, which at one time was the heart of the ancient Mayan civilization, includes a number of archaeological sites.

Until recently, the primary source of economic activity in this model forest has been agriculture. Corn is the principal crop, but fruit, beans and squash are also grown. The challenge in managing the forest has been to balance agricultural needs with those of conservation, so that prime forestland does not suffer from being cleared for farming.

Model forest activities include an examination of alternative economic development opportunities and their potential impact on the environment and on local communities. Other work includes expanded research into forest ecology, water quality and wildlife habitat and the expansion of silvicultural techniques. The goal of these programs is to ensure a healthy and productive integration of agricultural and forest production.

The Calakmul Model Forest will also be the focus for the collection and integrated analysis of information about communities, economic activities and the forest ecosystems of the area. Surveys and biological inventories will also be undertaken and environmental, social and economic data will be analyzed.

## Gassinski Model Forest, Russia

The Gassinski Model Forest is situated in the boreal forest of Russia, and has a total area of 385,000 hectares. The region is characterized by hilly and mountainous regions, with lowlands and swamps adjacent to the floodplain of the Armur River. The predominant species found in the model forest are Yeddo spruce, Manchurian birch, and Korean pine. Pine nut production is an important economic activity, with over 55,000 hectares set aside for this purpose. Other forest areas are protected to safeguard valuable salmon breeding grounds. Forests for timber production cover 288,000 hectares and support six industrial forest harvesting and wood processing enterprises in the Nanaiskii District.

Other important economic activities in the model forest include agriculture, hunting and wildlife management, fishing, and harvesting of non-wood forest products such as honey, medicinal plants, fruits and berries, and natural resins and oils. Expansion of tourism and recreational opportunities are being pursued, while the model forest will work to ensure the preservation of the natural environment.

The native people living in the model forest area are called the Nanai. As their traditional economic base and way of life are dependent on the region's natural resources, any approach to sustainable management must ensure conservation of the natural forest ecosystem if the traditional economy of the Nanai is to survive.

The Gassinski Model Forest is an important scientific base for the development and testing of progressive forestry practices, environmentally sensitive technologies, and improved forest inventories. For example, inventory data has been collected and entered into a geographic information system (GIS) to produce a series of thematic maps on ecological risk assessment, soils, and rare and endangered flora and fauna.

# II. Methodology

## *Outcome Mapping*

IDRC's conceptual and practical work over the past few years with donors, Southern research institutions, program staff, and evaluation experts, has brought to the fore a fundamental problem with existing approaches to reporting on development impacts. When referring to *impact*, development organizations usually mean significant and lasting changes in the well-being of large numbers of intended beneficiaries. These changes are the results for which donors expect accountability. This is problematic because the complexity and fluidity of development processes mean that the achievement of such impacts requires the involvement of a variety of actors, often over a considerable period of time.

When large-scale change – or impact – manifests itself, it is often the product of a confluence of events for which no single agency or group of agencies has control or can realistically claim full credit.

In response to this problem, IDRC has developed a new methodology called *Outcome Mapping*[3], which characterizes and assesses the contributions made by development initiatives (e.g. a project, program, or organization) to the achievement of outcomes. As development is essentially about people relating to each other and their environment, the focus of *Outcome Mapping* is on people.

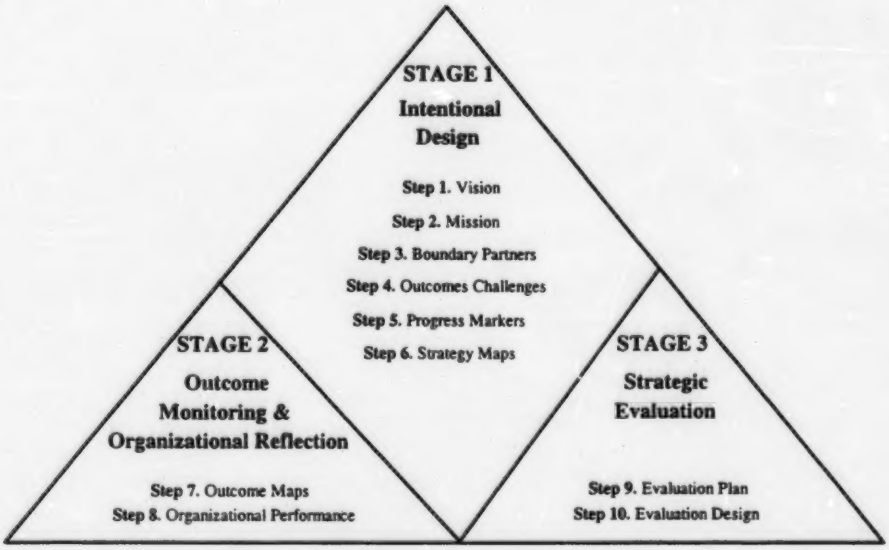
The originality of the methodology is its shift away from assessing the products of an initiative (e.g., policy relevance, poverty alleviation, reduced conflict) to a focus on the changes in the behaviours, relationships, actions and/or activities of the people and organizations with whom a development initiative works. This shift significantly alters the way an initiative manifests its goals and assesses its performance and results. *Outcome Mapping* establishes a vision of the human, social, and environmental betterment, to which the initiative hopes to contribute, and then focuses monitoring and evaluation on factors and actors within its direct sphere of influence. The initiative's contributions to development are planned and assessed based on its influence on the partners with whom it is working to produce change.

*Outcome Mapping* is divided into three stages. The first stage, *Intentional Design*, helps an initiative reach consensus on the macro level changes it would like to help bring about, and plan strategies to provide support. It helps answer four questions: Why? (Vision Statement); Who? (Boundary Partners); What? (Outcome Challenges and Progress Markers); and How? (Mission, Strategy Maps). The second stage, *Outcome Monitoring and Organizational Reflection*, provides a framework for the ongoing monitoring of the initiative's actions in support of the outcomes and the boundary partners' progress towards the achievement of these outcomes. It is based largely on data collection and systematized self-assessment but also provides systematic data collection tools for a project of program. The third stage, *Strategic Evaluation*, helps the initiative identify evaluation priorities, develop an evaluation plan, and design an evaluation study. The

[3] For more information about *Outcome Mapping*, a manual entitled, *Outcome Mapping: Monitoring and Evaluation Planning Focused on Changes in Partners: Facilitation Manual*, by Sarah Earl, Fred Carden, and Terry Smutylo is available from the IDRC Evaluation Unit in Ottawa, Canada or at www.idrc.ca/evaluation. It explains the various steps of the approach.

methodology can be used as a planning, monitoring or evaluation tool to help an initiative tell its performance story.

**Figure 1: Three Stages of Outcome Mapping**




## *Adapting Outcome Mapping to IMFNS*

*Outcome Mapping* was used as a mid-term evaluation tool for the purpose of this assessment. In adapting the methodology, only the six steps in the *Intentional Design* stage were used as the basis for assessing the outcomes achieved by boundary partners and the role of IMFNS in supporting the achievement of these outcomes.

Two workshops were held with IMFNS staff in early 2000 to redefine the work of IMFNS using *Outcome Mapping*. By working through steps 1 to 6, IMFNS staff clarified the macro-level changes they wanted to support (vision), articulated the areas the Secretariat worked in to support the vision (mission), identified with whom they had directly worked (boundary partners), and stated the ideal changes they envisioned for their boundary partners (outcome challenges). IMFNS staff also identified graduated progress markers for each outcome challenge and the strategies used by IMFNS to support the achievement of outcomes.

The *vision* statement describes why IMFNS is engaged in development and provides an inspirational focus. The *mission* describes how IMFNS intends to support the vision. The *boundary partners* describe those individuals, groups, or organizations with whom IMFNS interacts directly and with whom the initiative can anticipate opportunities for influence. These actors are called boundary partners because, even though IMFNS will work with them to effect change, it does not control them.

**IMFNS' Vision**

An expanded global model forest network is gathering support for creating awareness of and fostering actions that are consistent with sustainable forest management. In developing, transitioning, and developed countries, local communities, private sector companies, and government officials are partnering together, experimenting with putting the model forest concept into practice, and learning to trust one another. They are redefining their relationships towards each other and towards the natural environment and are influencing national policy debates and policy formulation so that sustainable forests are ensured for future generations. They are expanding their understanding of, and sharing knowledge about, the resource base and recognize the interdependence of forest resource values and forest management practices. They are partnering together to negotiate their different perspectives and come up with local solutions that balance conservation needs and desired socio-economic benefits. Formal and informal decision-making processes involve and benefit all forest users.

The two key boundary partners upon which this study is focused are: (1) local communities; and, (2) government officials and policy makers. While the Secretariat interacts directly with other boundary partners to effect change, local communities and government officials have the most direct responsibility in the development of their model forests. It should be noted that IMFNS' focus shifted over the course of the five years as they became aware of the critical nature of policy level support for the development of model forests.

**IMFNS' Mission**

In support of this vision and on behalf of its donors, IMFNS promotes the model forest concept in order to encourage greater participation in setting up and sustaining new model forests and managing existing ones. Its activities at the local and national levels fall into three distinct but interrelated categories: advocacy, coordination, and support. The Secretariat provides opportunities for participants to cooperate and gain greater trust in one another by coordinating and fostering the exchange of information and experience within the network; serving as the channel for the introduction of new ideas and technologies; encouraging experimentation and the use of results of scientific research in improving the performance and output of model forests; and, planning and organizing workshops, seminars, and discussions. It helps develop structures for model forest partnerships by providing technical advice and guidance, financial support, and linkages to the Canadian network and other model forest sites. The Secretariat supports the development of the network and champions the concept to international bodies on behalf of its partners.

Once the boundary partners were identified, an *outcome challenge* statement was developed for each of them. An outcome challenge describes the changes in behaviour, relationships, activities and/or actions that IMFNS wants to help bring about in an individual, group or institution – it is a desired end-state. Outcome challenges are phrased so that they capture how the boundary partner would be behaving and relating to others if IMFNS achieved its full potential as a facilitator of change.

*Graduated progress markers* were then identified for each outcome challenge. The graduated progress markers show the complexity of the change process associated with each boundary partner and provide the measures against which progress of boundary partners towards the achievement of outcomes can be assessed. The progress markers advance in their degree of difficulty. For instance, markers that indicate passive learning by the boundary partner are relatively easy to achieve and are listed first under *expect to see* whereas those that indicate more active learning or engagement are listed under *like to see* and those that are truly transformative and are most difficult to achieve are listed under *love to see*. In this way, the Secretariat is able to

trace movement in what has been accomplished and is reminded of what still needs to be achieved.

The transformative progress markers are set sufficiently high so as to represent profound change. It is not expected that many (if any) of the *love to see* progress markers would be achieved by the model forests, given the early stages of model forest development.[4] Combined, the outcome challenge statements and progress markers outline the changes (outcomes) IMFNS would like to see its boundary partners achieve. The outcome challenges and progress markers that have been developed for local communities and government officials and the policy makers are presented in Tables 2 and 3 on pages 11 and 12, respectively.

Finally, a *strategy map* was completed for the outcome challenges to identify the strategies used by IMFNS to contribute to the achievement of outcomes. From among a myriad of activities and services, the Secretariat identified three key strategies it has utilized to influence/encourage positive change (outcomes) in its boundary partners and on which it has spent most of its time and effort. The strategies are:

- Site visits (capacity building);
- Sustained and regular support to model forests (labour intensity); and,
- Network development (sustainability).

A description of each strategy and an assessment of IMFNS' performance in supporting the achievement of outcomes by boundary partners through the use of these strategies are provided in Section IV of this report.

## Data Collection

The development of the evaluation framework and the collection and analysis of the data were participatory processes with IMFNS staff actively engaged through a series of workshops and face-to-face interviews. Altogether, the data was collected using the following methods:

- Two workshops with IMFNS staff;
- Key informant interviews; and,
- Document review.

A total of 20 in-depth interviews were conducted with boundary partners in Russia, Mexico, and Chile in February and March 2000. Representatives of three Canadian model forests and two Japanese model forests were also interviewed, as well as the three key staff members of IMFNS and one former staff member.

Copies of the questionnaires developed for conducting the interviews are provided in Appendix A. The review of the documents on the work of IMFNS (see Appendix B) provided background information about IMFN, the Secretariat and the model forests.

[4] International Model Forests were first established in 1992.

## Table 2: Outcome Challenge and Progress Markers for Local Communities

| | |
|---|---|
| **OUTCOME CHALLENGE:** IMFNS intends to see **local communities** who recognize the importance of, and are engaged in, planning resource management activities in partnership with other resource users in their region. They have gained the trust of the other members of the partnership and the recognition of government officials so that they can contribute constructively to debates and decision-making processes. They are able to clearly plan and articulate a vision of their forest management activities and goals that is relative to their context and needs. They call upon external technical support and expertise as appropriate. They act as champions for model forest concepts in their communities and motivate others in the partnership to continue their collaborative work. | |
| **EXPECT TO SEE LOCAL COMMUNITY PROGRESS MARKERS** | |
| 1 | Participate in regular model forest partnership meetings |
| 2 | Establish a structure for cooperation in the partnership that ensures all local interests are represented (mechanics of setting up the structure) |
| 3 | Acquire new skills for involvement in the model forest |
| 4 | Contribute the human and financial resources needed to get the model forest operational |
| **LIKE TO SEE LOCAL COMMUNITY PROGRESS MARKERS** | |
| 5 | Articulate a vision for the model forest that is locally relevant |
| 6 | Promote the model forest concept, their experiences, and results |
| 7 | Expand the partnership to include all the main actors |
| 8 | Call upon external experts when necessary to meet information or technical needs |
| 9 | Request new opportunities for training and extension |
| 10 | Produce and disseminate concrete examples of benefits from model forest activities |
| 11 | Identify opportunities for collaboration with other institutions and actors |
| 12 | Identify opportunities for and successfully obtaining funding from a range of sources |
| **LOVE TO SEE LOCAL COMMUNITY PROGRESS MARKERS** | |
| 13 | Play a lead role in resource management with a view to long and medium-term benefits |
| 14 | Share lessons learned and experiences with other communities, nationally and internationally, to encourage other model forests |
| 15 | Influence national policy debates and formulation on resource use and management |

## Table 3: Outcome Challenge and Progress Markers for Government Officials & Policy Makers

| | |
|---|---|
| **OUTCOME CHALLENGE:** IMFNS intends to see **government officials and policy makers** who are committed to the model forest concept and the principles of its partnership. They support the development of local capacity and consult non-traditional groups when planning and making decisions about forest resource management. They are actively involved in the model forest partnership and draw lessons from the experience that are relevant and can be used to inform national policy debates and policy formulation. They champion the model forest concept and seek funding from national and international sources to ensure the continuation and success of the model forest in their country/region. | |
| **EXPECT TO SEE GOVERNMENT OFFICIALS & POLICY MAKERS PROGRESS MARKERS** | |
| 1 | Designate a country representative for the national and international model forest program who will have clearly defined responsibilities (will be more than a mailbox) |
| 2 | Identify internal resources (human, financial) and, where feasible, external donors to support model forest program (develop a strategy) |
| 3 | Participate in regular model forest partnership meetings at the provincial/state level |
| 4 | Organize and/or participate in internal meetings and discussions on sustainable forest management at the ministry level |
| 5 | Create mechanism to support decision-making processes at the local level |
| **LIKE TO SEE GOVERNMENT OFFICIALS & POLICY MAKERS PROGRESS MARKERS** | |
| 6 | Promote the program and concept as a viable mechanism to bring about change nationally to demonstrate their commitment to sustainable forest management |
| 7 | Disseminate results and share experiences (good and bad) internally and nationally (via workshops, conferences) |
| 8 | Facilitate and promote networking between national model forest sites and international sites (creating an enabling environment through which they can network) |
| 9 | Engage donors to financially support the model forest program (new and incremental) and earmark internal funds for the medium-term. Sources of funds are diversified beyond forestry or environment ministries (3-5 years) |
| 10 | Participate actively in the IMFN Steering Committee (e.g. attend meetings, engaging others outside the meetings, etc.) |
| 11 | Technical staff begin to share data with model forests and provide technical support (linking back to national program) |
| 12 | Willing to listen and establish fora to promote experimentation within their realm of influence with ideas raised by local/national partners |
| 13 | Expand number of model forest sites in the country |
| **LOVE TO SEE GOVERNMENT OFFICIALS & POLICY MAKERS PROGRESS MARKERS** | |
| 14 | Promote and support the model forest concept in international forest policy fora (become advocates) |
| 15 | Incorporate model forest principles in national and regional policies and legislation |
| 16 | Take longer-term perspective (5+ years) in financial planning (invest incremental resources (internal and external) into model forests and IMFNS activities) |
| 17 | Collaborate with other relevant Ministries for planning and managing the land base/ integrated land use planning |
| 18 | Use consultation mechanisms with non-traditional groups before establishing policies on national resource management strategies (as well as on other themes) |

# III. Outcomes Achieved by Boundary Partners

What would a successful model forest look like? How would we know and demonstrate that the time, effort and money put into the development of a model forest have paid off? The answers to these questions rest with the *outcome challenges* identified for both sets of boundary partners – local communities, and government officials and policy makers. The outcome challenges represent the changes (outcomes) IMFNS would like to see each boundary partner achieve.

The graduated progress markers, outlined in Tables 2 and 3 above, provide the measures against which the progress of boundary partners towards the achievement of outcomes is assessed. Tracing the movement in what has been achieved by boundary partners provides IMFNS with an appreciation of both accomplishments and what remains to be done.

## *Sustainable Development in Action – Local Communities*

The outcome challenge for local communities is their engagement in planning resource management activities in partnership with other resource users in their region. Further, they have gained the trust of the other partners and the recognition of government officials so that they can contribute constructively to debates and decision-making processes. They are also able to clearly plan and articulate a vision of their forest management activities and goals that is adapted to their geographical and cultural context and needs. Locally, they act as champions for model forest concepts in their communities and motivate others in the partnership to continue their collaborative work. In addition, they are plugged into a global network of model forests and, when needed, call upon external technical support and expertise.

Behind this description of the desired end-state are many details that must be understood and articulated before a meaningful assessment of progress can be undertaken. For example, the concepts of partnership, participation, sustainable development and policy influence must be clarified before we can measure them. For this study, partnership must include key land users and other stakeholders represented in the geographic region, including industry, community groups, government agencies, non-governmental environmental and forestry groups, academic and educational institutions, national parks, aboriginal groups, private landowners and others, as appropriate. In other words, a model forest is inclusive rather than exclusive. More than attending meetings, partners participate in resolving conflicts, establishing the vision for their model forest and making the decisions affecting its future. For the purposes of this study, partnership means sharing power, decision-making, pain, and gain.

Although weakened by overuse, the term *sustainable development* has kept a very specific meaning in the model forest context – sound, socially acceptable, and economically viable forestry practices and techniques based upon an ecosystem approach. To be meaningful, and to have any significant degree of success, the model forest concept must have the support of the national, regional and local governments that have jurisdiction or can make decisions affecting the land the forest occupies.

Each model forest should be part of an overall national or regional forest sector plan to ensure that the efforts of local communities and partners are not marginalized. To be successful in terms of our outcome challenges, however, in addition to operating within a national policy framework,

model forests must influence national policy by being living proof of an effective sustainable development approach worth duplicating.

Against this backdrop of the outcome challenge for model forests and an articulation of the concepts within which they operate, it is clear that progress toward this end must be broken down into manageable steps. We call these manageable steps progress markers. As illustrated in Table 2, there are 15 progress markers for local communities, divided into three categories. The first category is what IMFNS would *expect to see* during the first few years of operation of a model forest. It contains four progress markers determining the failure or success of the initiative. The second category, what IMFNS would *like to see*, is made up of eight progress markers that would be highly desirable outcomes. These, however, are not critical to declaring the intervention a success or a failure. Finally, there are three progress markers under the heading what we would *love to see*, which indicate a highly desirable end-state – that is, truly transformative change.

### *An Outcome Profile for Local Communities*

The five local communities examined in this study all exceeded the minimal requirements of full participation, collaboration and partnerships representing all local interests, acquisition of new skills for sustained involvement, and commitment of human and financial resources to get the model forest operational. Going beyond this level of basic expectations, all five demonstrated accomplishment of the first three of the eight *like to see* progress markers. Each of the five local communities had articulated their own locally relevant vision for their model forest, were actively promoting the concept, sharing their experiences, and broadcasting the results they had achieved, and had expanded the partnership to include all the main actors.

Only the Chiloe Model Forest had called upon external experts to meet information and technical needs as well as requested new opportunities for training. Further, the local community of the Chiloe Model Forest, through its chairman, was influencing national policy debates and the formulation of resource use and management of natural resources.

With the exception of the Gassinski Model Forest, local communities have been producing and disseminating examples of benefits arising from model forest activities and two model forests had begun to identify opportunities for collaboration with other institutions and actors. The local communities in the Chihuahua and Monarch Butterfly Model Forests are also actively sharing lessons learned and experiences with other communities both nationally and internationally to encourage other model forests – acting as champions for the model forest concept. Table 4 on page 15 provides an overview of the progress markers for local communities achieved by each model forest.

After only a few years of activity, the results are surprisingly positive. For a relatively small annual investment of fewer than two million Canadian dollars, (US$ 1.36 million) over a period of several years, the progress achieved by local communities is impressive. In all five model forests, changes in behaviour and relationships have been demonstrated that are consistent with the principles of participation and local ownership central to the model forest concept. These impressive results indicate that, fundamentally, the model forest concept meets the needs of its participants and that they view participation in the partnership as a means to encourage individual and community development. At the same time, the assessment of progress also indicates some areas of concern regarding sustainability of the model forests. Progress markers 8

and 9 refer to building the capacity of the local communities to sustain the model forests over time. Progress is only indicated in the Chiloe forest for either of these markers. This would suggest that an important area of focus in the future is to build the capacities of local communities both through training and creating awareness of the expertise available beyond the Secretariat on which they can draw.

**Table 4: Achievement of Progress Markers by Local Communities**

| PROGRESS MARKER | CHILE – CHILOE | RUSSIA – GASSINSKI | MEXICO – CHIHUAHUA | MEXICO – CALAKMUL | MEXICO – MONARCH |
|---|---|---|---|---|---|
| EXPECT TO SEE | | | | | |
| 1 | • | • | • | • | • |
| 2 | • | • | • | • | • |
| 3 | • | • | • | • | • |
| 4 | • | • | • | • | • |
| LIKE TO SEE | | | | | |
| 5 | • | • | • | • | • |
| 6 | • | • | • | • | • |
| 7 | • | • | • | • | • |
| 8 | • | | | | |
| 9 | • | | | | |
| 10 | • | | • | • | • |
| 11 | Potential | | • | | |
| 12 | | | | | |
| LOVE TO SEE | | | | | |
| 13 | | | | | |
| 14 | | | • | | • |
| 15 | • | | | | |

The examination of these five local communities has enabled us to construct an *ideal type* or abstraction of the typical results achieved by local communities involved in a model forest after a few years of effort. The *Cirentos Model Forest* described in the boxed text on the following page is fictional in that elements of each of the five model forests examined have been combined. Therefore, the description is an *ideal type* or abstraction of a typical model forest board meeting taking place a few years after the development process has begun. In describing the typical change (outcomes) brought about as a result of involvement in a model forest, it is important to remember that each of the five model forests that were selected for examination is located in a developing country.

**Cirentos Model Forest Board Meeting – An Abstraction of a Typical Model Forest Board Meeting**

Ithica, the Grand Chief of the four tribes of Aboriginal peoples living in the Cirentos Model Forest, was the first to arrive at the monthly Board of Directors meeting. As he pondered the agenda, his thoughts drifted back to the first days of his involvement with the Cirentos Model Forest, almost five years ago. He had originally declined to participate in the process of establishing the model forest because Peter Jackson, the head of the gold mine adjacent to the forest, would be involved. Instrumental in the planned mine expansion that would, without a doubt, further pollute the waterway that was their primary source of sustenance, Jackson was seen as an enemy by the local tribes. His involvement was also suspected in the death threats received by Ithica's people during the blockade they had organized to protest the mine expansion. The only reason Ithica decided to get involved in this model forest idea was that the local Bishop and the Regional Director of Environment for the Ministry of Natural Resources, two individuals he respected, were going to attend. Somewhat reluctant and suspicious, he decided to be there as an observer.

As Ithica read today's agenda, he thought how much things had changed—how much *he* had changed. From observer, he had soon become an active participant in the development of the model forest. He had voiced his tribe's concerns and played a significant role in pushing for responsible environmental management practices. Peter Jackson turned out not to be the devil envisioned. In fact, the eventual expansion of the mine led to an improvement of the water quality.

Going over the minutes of the last meeting, Ithica marveled at the fact that, out of the ten Board of Directors members, only two had ever missed a meeting. The first item on the agenda was a discussion about their successful application to the Global Environment Fund for operational funds. Together with their own contributions, these funds would build the training and interpretation center that was central to their plan. Ithica thought it symbolically important to hold the many training sessions in the natural forest environment rather than in the inhospitable meeting rooms available in the nearby town. He knew that sessions on conflict resolution, management principles, and ecosystems would be much more meaningful in the forest. Also, the learning experiences of the students on the many school trips to the forest would be much improved with the planned interpretation center.

Other items on the agenda included the approval of the revised vision statement for the model forest. It had been revised to take into account the increased level of interest in the Cirentos Model Forest, as well as the unforeseen challenges and opportunities brought by the rise of eco-tourism in the region. Most of the interest was based on a revival of the rich culture and tradition of two forest tribes. Next, there was to be a discussion about which two people would go to the far south to explain the model forest concept to a group of people interested in starting a third model forest in their country. Ithica hoped that the publication of the report on the Cirentos Model Forest would be done in time for the visit since it captured the many lessons and benefits of their own experience.

The penultimate item on the agenda dealt with the operational report of the Cirentos Model Forest General Manager, which included status reports on the implementation of the communication plan, technology transfer and training plan, and a draft partnership agreement between a pharmaceutical company and a local firm for the on-site refinement of basic genetic material from the forest—a proposal that would create some 50 jobs. Finally, a report on the results of a forest science research project demonstrating the link between economic development and maintaining biodiversity was to be presented. The Cirentos Model Forest had been chosen as one of three sites for the study. Ithica was looking forward to this presentation by the Regional Director of Environment for the Ministry of Natural Resources because he had a knack for making abstract scientific ideas comprehensible.

His thoughts were interrupted by the arrival of the Bishop who chaired the Board of Directors. With him were two other Directors from the private sector and someone he did not recognize, most likely the guest speaker who was here to tell them how to set up their own prefabricated log home industry. According to the short biography attached to the agenda, he was an Aboriginal who ran a very successful log home enterprise in the northeastern part of the USA. Ithica wondered what other things they could learn from each other.

A few moments later, the other Directors arrived and the meeting was called to order. Once the meeting began, a new and very contentious item was added to the agenda. The Board was going to deal with the issue of bird poaching and theft of rare wood in the forest. These illegal and destructive activities were a long-standing threat to the sustainability of the forest. Despite a great deal of effort, local wardens seemed unable to curb the problem. How, thought Ithica, could discussions with the exporters be engineered to try and improve the situation? The very thought of bringing the poachers and traffickers to the table would have seem ludicrous a few years ago but, thinking of how his relationship with Peter Jackson had evolved, Ithica was hopeful and already forming a few ideas in his mind about how these people could be brought on board and involved in the Model Forest...

## Sustainable Development in Action – Government Officials & Policy Makers

When it comes to outcome challenges for government officials and policy makers, the picture is quite different. They provide the environment that must nourish individual model forests and are part of the network of support they need. Without this network of support, individual successes would be ephemeral at best. Much of the work of IMFNS goes to capacity building in this key area.

The desired end-state is solid evidence that government officials and policy makers are committed to the model forest concept and the principles of its partnership. They support the development of local capacity and consult non-traditional groups when planning and making decisions about forest resource management. They are actively involved in the model forest partnership and draw lessons from the experience that can be used to inform national policy debates and policy formulation. Further, they champion the model forest concept and seek funding from national and international sources to ensure the continuation and success of the model forest in their country or region.

As shown in Table 3, there are 18 progress markers for government officials and policy makers. Five progress markers need to be achieved to meet the *expectations* of donors and the Secretariat. First, a country representative with clearly defined responsibilities for the national and international model forest program needs to be identified. More importantly, this person has to be active in the model forest movement and participate in regular partnership meetings at the provincial or state level. Third, internal human and financial resources, and a strategy for meeting resource requirements, have to be in place. Fourth, there must be a demonstrated link between the model forest participation and internal meetings and discussions on sustainable forestry management at the ministry level, either through organizing activities or participating in ministry meetings. Fifth, a mechanism to support decision-making at the local level must be in place.

There are eight *like to see* progress markers. They include: promoting the program and the concept as a viable mechanism to bring about change nationally; demonstrating commitment to sustainable forest management; disseminating results and sharing experiences internally and nationally; facilitating and promoting networking between national model forest sites and international sites; engaging donors to support new and incremental model forest programs and diversifying funding beyond forestry or environment ministries; participating in international network activities; providing links between international activities and local partners; establishing a forum to promote experimentation and learning within their realm; and expanding the number of model forest sites in the country.

Finally, there are five *love to see* progress markers for government officials and policy makers. Becoming international advocates is the first. The second is to incorporate model forest principles in national and regional policies and legislation. Third, is establishing the initiative long-term through five-year-plus financial plans and funding arrangements. Fourth, is collaborating with other ministries for planning and managing the land base in an integrated fashion. The fifth and final *love to see* progress marker is the use of consultation mechanisms with non-traditional groups before establishing policies on national resource management issues and strategies.

### An Outcome Profile for Government Officials & Policy Makers

Like progress markers for local communities, progress markers for government officials and policy makers exceed expectations. All of the *expect to see* markers were met by government officials and policy makers in all five model forests examined. So were many of the *like to see* markers. With the exception of Calakmul Model Forest in Mexico, all model forests studied met the first three progress markers in this category. This means that considerable progress toward building a sustaining environment has occurred. They are all characterized by the active involvement of country representatives with well-defined roles. Resources have been obtained and financial strategies put in place. In every instance, there is evidence of ongoing participation at the provincial and ministerial levels and support from these levels for local decision-making. In addition, there is evidence of strong commitment to sustainable forestry management, transparency in governance, sharing of experiences, and networking at the national and international levels.

The Gassinski Model Forest has also achieved all but one of the *love to see* progress markers. Government officials have been able to incorporate model forest principles in regional policies and legislation. They have also participated in international forest policy forums as promoters and supporters of the model forest concept and have begun collaborating with other relevant Ministries for planning and managing the land base. Finally, government officials have engaged a wide spectrum of stakeholders (both traditional and non-traditional) in policy debates around national resource management strategies. Clearly, the Gassinski Model Forest benefits from strong government support and involvement, both at the state and federal levels. Government officials and policy makers have become champions of the model forest concept at home and abroad – a significant achievement. One distinctive characteristic of the Gassinski Model Forest is the location of strong forestry research institutions on site that provided linkages at the institutional level that did not exist before.

While progress has been made, as indicated in Table 5 on the following page, two critical building blocks needed to ensure sustainability of the model forests are not yet in place. First, government officials and policy makers have not been actively engaged in bringing other donors to support model forests in their communities (progress marker 9).[5] As diversification of funding is critical for the long-term sustainability of the forests, this suggests an important area of support for the Secretariat in the future. Second, progress marker 10 indicates a lack of involvement by government officials and policy makers in the activities of the IMFN Steering Committee. If the network is to provide support to the forests it needs the active involvement of partners and interest groups. Without this strong backing, international support will be hard to get, or will fade away. These two elements: (1) financial diversification; and, (2) engagement in the policy-making process, are critical building blocks without which a model forest will not achieve long-term sustainability. Both point to important areas of work in the future.

[5] Since the completion of this survey, the Chiloe Model Forest, with support from the IMFN Secretariat, has been successful in an application to GEF for support.

**Table 5: Achievement of Progress Markers by Government Officials & Policy Makers**

| PROGRESS MARKER | CHILE – CHILOE | RUSSIA – GASSINSKI | MEXICO – CHIHUAHUA | MEXICO – CALAKMUL | MEXICO – MONARCH |
|---|---|---|---|---|---|
| EXPECT TO SEE | | | | | |
| 1 | • | • | • | • | • |
| 2 | • | • | • | • | • |
| 3 | • | • | • | • | • |
| 4 | • | • | • | • | • |
| 5 | • | • | • | • | • |
| LIKE TO SEE | | | | | |
| 6 | • | • | • | • | • |
| 7 | • | • | • | • | • |
| 8 | • | • | • | | • |
| 9 | | | | | |
| 10 | | | • | | |
| 11 | | • | • | • | • |
| 12 | | | | | |
| 13 | Potential | | | | |
| LOVE TO SEE | | | | | |
| 14 | | • | | | |
| 15 | | • | | | |
| 16 | | | | | |
| 17 | | • | | | |
| 18 | | • | | | |

Because donors have not been engaged to financially support the model forest program, internal funds have not been earmarked for the medium-term (5-10 years), funding sources have not been diversified beyond forestry and environment ministries, and government officials and policy makers do not participate actively in the IMFN Steering Committee. There is strong evidence that the solid building blocks needed to ensure sustainability are not yet in place.

# IV. Performance of IMFNS

## *Influencing Change*

Among all its activities and services, IMFNS has utilized three key strategies to influence/encourage positive change (outcomes) in its boundary partners:

- Site visits/capacity building;
- Sustained and regular support to model forests; and,
- Network development.

IMFNS arranges *site visits* to encourage model forest development by example. The intent is to expose visiting groups to Canadian practices (and vice versa), to promote model forest development, and to foster the exchange of knowledge and expertise. In an effort to influence positive change, IMFNS also provides *ongoing support* to model forests to help build and sustain local capacity. Ongoing support includes technical advice, financial support, administrative advice, promotional support, team building and skills development.

Perhaps one of the most important roles played by IMFNS is that of *network development.* Partnership and network development has consisted of making regular, direct contacts and visits to model forests, as well as fostering linkages between model forests and experts and developing twinning relationships between model forests.[6] Network development activities are intended to promote the transfer of information about sustainable forest management tools and forest-based economic development practices. An important part of network support has been an increased focus on effective communications between all members. This involves introducing a system of electronic communication; pursuing a program of publications and documentation, including technical reports, bulletins, newsletters, and audio-visual materials for use in IMFN workshops, seminars, and training events; and establishing a small documentation centre housing relevant technical and socio-economic information.

Have these three strategies enabled IMFNS to influence positive change among boundary partners? The following is an overview of the contributions made by IMFNS in supporting the achievement of outcomes by boundary partners.

## Assessing IMFNS' Performance

The support of IMFNS can greatly determine a country's progress in developing a model forest. By most, if not all accounts, IMFNS has done well in this regard. In fact, 65 percent of boundary partners interviewed said their needs were *greatly met* by IMFNS.

### Site Visits

Given the diverse priorities of each country, site visits have been designed to reflect the particular interest, needs, and local context of visiting groups. Initial site visits are designed to expose visiting groups that have expressed an interest in model forests to the concept and experiences of model forests in Canada and around the world. Follow-up visits are often conducted to explore possible linkages between model forests. IMFNS also organizes visits by Canadian representatives to interested countries to share their model forest experiences.

Based on interviews with boundary partners, it is clear that IMFNS has played a central role in the establishment of all five model forests. The Secretariat's work in promoting and articulating a vision for model forests internationally and transferring Canadian experience and expertise has been critical to the development of model forests around the world. According to one local community partner, IMFNS has *been a fundamental pillar in the establishment of the [Chiloe Model Forest]. IMFNS has provided the philosophical support for the model forest. Since the very beginning, they have been a source of information on the concept of model forests and how they operate in other regions.*

[6] As a result of government-wide budget cutbacks in Canada, the twinning program was officially discontinued in 1998.

IMFNS, through the articulation and promotion of the model forest concept, has helped create a better understanding and appreciation of sustainable development in several countries. A local community boundary partner from the Calakmul Model Forest explained that *the vision of model forests articulated by IMFNS has helped create a better understanding and appreciation of sustainable development – it has generated a certain intellectual change in the region with respect to the management of our natural resources . . . the result has been the protection of our forest against deforestation.* Another boundary partner stated that, as a result of IMFNS' support, *we not only understand what constitutes a true partnership, but have a significantly heightened awareness of the importance of sustainable development.*

Sustainable development from the perspective of local needs is a cornerstone of the model forest concept. Boundary partners acknowledged IMFNS' effort to promote local capacity and decision-making. As one boundary partner explained, *IMFNS staff act like consultants – they provide suggestions and discuss possible options, but at the end of the day, they support the decisions taken by the local model forest – in fact, they expect decisions to be made locally.* This is a concrete example of a local community producing and disseminating examples of benefits arising from model forest activities.

### Ongoing Support

IMFNS plays an important role in the development of model forests by providing ongoing support. The level and degree of support, however, varies from one model forest to the next. Ongoing activities to support the model forests include, among others:

- Advising members on improvements in technical and scientific approaches, socio-economic issues, project management, and administration;
- Helping members develop principles, priorities, objectives and planning systems;
- Helping new members formulate proposals for their model forest projects, define financial requirements, and foster cooperative or joint studies between model forests and research establishments;
- Helping members build and maintain effective partnerships;
- Maintaining regular contacts with various international organizations, research institutions, NGOs and donors; and,
- Organizing regular model forest workshops, seminars and training on specific topics.

In developing countries, the degree of support provided by IMFNS has been substantial. In particular, the focus has been on developing local capacity through team-building and skills development. Workshops have been critical to the effective delivery of many of these support functions.

If required, IMFNS provides support at every stage in the development of model forests. A local community boundary partner in Russia explained that, without the support of IMFNS, *the establishment of the Gassinski Model Forest would have never happened.*

IMFNS has also played an important role in identifying and leveraging financial and human resources in Canada and elsewhere by engaging local, state, and national governments as well as local partners and community groups. All three countries examined in this report have been able

to secure funds from national and international sources – the majority interviewed said that the IMFNS helped them secure these funds.

### *Network Development*

The Secretariat's ability to foster relationships among model forests and to disseminate information about them has been identified as a key factor in helping model forests gain access to resources and expertise. When asked to identify what IMFNS has done to support the development of individual model forests (besides financial support), boundary partners repeatedly point to the support they have received in the establishment of relationships with experts, organizations and other model forests. For instance, those involved in twinning arrangements were unanimous in their support for the development of these relationships between model forests. Boundary partners most commonly cited technical assistance, the generation of new ideas, and the promotion of a new understanding between different cultures as benefits of twinning – benefits that flowed to both international and Canadian model forest partners.

IMFNS also supports the exchange of ideas and information through a website, newsletter, reports, information workshops, and international fora. Boundary partners interviewed were grateful for the support provided by IMFNS in helping them stay in touch with other international model forests. The Secretariat's distribution of information through various means encourages other countries to share their knowledge and the lessons learned. For example, Russia has a long tradition of not sharing information. It is on the basis of their experience with IMFNS that they now realize they can accomplish much more by working with others than by working in isolation. The Gassinski Model Forest now has a website with information that can be used by other model forests.

For some boundary partners, access to information from other network members offers significant intellectual value and, in many ways, decreases demands on IMFNS to be the sole provider of information. One local community boundary partner noted, *IMFNS adds intellectual value in many ways – one being the sharing of information between all model forests in the network. This is of great value because it provides guidelines or 'modus operandi' to continue working.*

According to those interviewed, IMFNS provides international scope to model forest development, which brings increased credibility to individual model forest initiatives. Actually, IMFNS plays such a central role in promoting and fostering model forest development internationally that, without it, a coordinated and international approach to the sustainable development of forests would be unlikely.

The process of building trust among model forest practitioners has been facilitated by IMFNS' efforts to organize meetings where people can explore common areas of interest and trust can be established. Indeed, boundary partners believe that face-to-face exchanges organized by IMFNS, whether between Canadians and others or between international model forest partners, at international fora, workshops and other events, are the most effective mechanism for the dissemination and sharing of knowledge.

The Secretariat has also strengthened countries' sense of belonging to the Network by asking them to advocate the model forest cause on its behalf. The Gassinski Model Forest, for example,

has fulfilled this role by attending conferences and making presentations to illustrate the model forest concept to others considering the establishment of a model forest. IMFNS' policy of providing as much multilingual documentation as possible and employing multilingual program officers has also helped to solidify model forests' sense of belonging.

Stepping away from methodological considerations for a moment, it is instructive to reflect on the impact that IMFNS' network-building activities have had on Japan's involvement in the model forest initiative. This involvement began with a series of preliminary discussions about the basic concepts in 1992 and 1993. In 1996, IMFNS became part of the forestry subset of formal discussions in the development of the Canadian/Japanese Cooperative Agreement on Environmental Issues. The model forest concept was an area of cooperation identified in the agreement. The first step in implementing this part of the agreement was organizing Japanese officials in numerous visits to Canadian model forests and involving them in relevant meetings at the local, provincial and federal levels. These activities helped the Japanese refine their understanding of the concept and gave greater profile to model forests among the senior ranks of their government.

As a result of these interventions, Japan has taken an increasingly stronger leadership role in the development of the concept internationally and in model forest development in Southeast Asia. The Japanese offer an intensive annual training program for model forest managers, foresters, and government officials from Asian countries. In October 2000 they are hosting an international workshop on sustainable forestry management. Further, they have translated the Model Forest Development Guide and other documents into Asian languages.

# V. Lessons Learned and Conclusions

It is clear that IMFNS has played an important role in the successful establishment of individual model forests and in effecting change in the approaches and attitudes of boundary partners. In fact, IMFNS' support was crucial in the establishment of all five model forests reviewed in this report and in desirable behavioural change.

A number of factors that lie outside IMFNS' control can facilitate model forest development. These factors include: political and economic stability; willingness of national governments to experiment with devolution of decision-making authority to local communities; support from government officials at all levels; willingness and ability of boundary partners to provide and/or identify some human and financial resources; willingness to experiment and try new ideas and approaches; recognition of the need for sustainable forest management; respect and acceptance by government of the local community's viewpoint; institutions with some experience and knowledge; and local advocates to champion the concept. There are also certain conditions that can greatly inhibit the development of model forests including systemic corruption, poor communication systems (e.g., telephone, electronic mail) and the lack of organizational capacity and skills at the local level.

The progress made by boundary partners demonstrates a high level of achievement. The success of individual model forests also highlights the broad applicability of the model forest concept across cultural boundaries. The fact that few *love to see* markers have been achieved is not an indication of a lack of success – these markers are set sufficiently high so as to represent

profound change. The time has been too short to expect many of these more profound changes to have occurred. They will have to be worked on during the next phase of IMFNS.

Those interviewed pointed to IMFNS' lack of resources and personnel as a growing and potentially serious problem. Some boundary partners argued that, although they are satisfied with the support provided by IMFNS, it is evident that staff is currently unable to handle their workload. As one interviewee noted, *With the growth that IMFNS is experiencing, it should seriously consider increasing the size of the personnel and the amount of resources in order to cope with the demands from model forests.*

## Establishing Model Forests in Developing Countries

When contrasting the success of the five forests examined with the ones that were not as successful, three themes with three associated lessons emerge. The first theme is the level of complexity, time and effort required to establish a model forest in a developing country. At first sight, apparent failures, such as in Ecuador seem to have resulted from inadequate appreciation of the complexity, time and effort required to establish a model forest in some countries. In Malawi, another case, the experience resulted in IDRC implementing a project to build the capacity needed to support model forest development. The IMFNS has learned that the success of model forests is often affected by conditions over which the Secretariat or its partners have little control.

An important part of their job then is to determine which candidates best warrant the time, effort, and money that are required to engage key local stakeholders and develop project proposals into fully functioning model forests. The suggestion is that, in advance of committing significant human and financial resources to engaging model forest candidates, more background work must be done. In particular, advance attention must be given to the consideration of factors that facilitate and/or hinder model forest development. For example, considerable resources were spent in Ecuador even though this country has a well-documented history of weak governance structures, a general lack of good governance practices, and insensitivity to sustainable development. It, too, suggests the need for building local technical capacity. As noted in Table 4, the lack of progress in this domain suggests that the model forests will require an unsustainable level of commitment from the staff of the program unless a strategy is put in place to strengthen local capacity.

The suggestion that IMFNS should have better evaluated the candidates' propensity for success points again to the fact that the Secretariat has limited resources to work with. Careful attention needs to be given to how scarce resources are allocated and an acceptable level of risk must be identified. Malawi's example shows the need to recognize that some lack of success in establishing model forests will occur and that resources are needed to build the capacity required to make success more attainable in the future. Malawi has a high level of poverty and other factors that make the development of a model forest difficult. However, it is perhaps here that the need for such a program is most urgent since Malawi has the highest deforestation rate in the region.

It is clear that the three professional staff members of IMFNS are spread too thin and that service delivery capacity issues need to be addressed. The more profound lesson is that more on-site or regional presence is required to provide the continuity and capacity building that is needed in

many developing countries. Periodic and brief site visits do not meet the capacity-building needs of many developing countries.

## Understanding the Local Context

The second theme is an extension of the first. Where model forest development has been successful, the local context was well understood and development staff shared the same language as the local partners. It is not surprising that the success of model forests in Mexico, Chile, and Russia was supported by Spanish and Russian-speaking IMFNS staff members. Many of the support functions provided by the Secretariat include workshops and individual coaching. Successful development depends to a great extent on building a relationship of trust between field workers and local partners. As noted by one interview respondent, *...there is very active and regular contact... she* [IMFNS staff member] *has a very high level of interest in the model forest and is aware of and knowledgeable about almost every subject...she keeps up-to-date about our activities and problems.* Another said, *It is a dynamic relationship, by phone, Internet, personal visits...the exchange of information flows both ways and very rapidly.*

Required to foster successful model forest development, this level of support would be impossible without the requisite language skills, knowledge of local conditions, and solid relationships. This is a special challenge in working in a range of linguistic settings with a small staff, in particular in areas with a high use of local languages. It suggests a need for building the local technical capacity. Another critical issue is the management of staff turnover. Because of the small number of permanent program staff (2), IMFNS is indeed vulnerable and this issue must be given careful consideration.

## Building on the Twinning Strategy

The third theme involves twinning. As discussed previously, twinning was initially a key IMFNS strategy between 1995 and 1997, until serious budget reductions led to their demise. However, experience with one-on-one twinning demonstrated that calling on the variety of skills offered by one model forest was too restrictive and did not take full advantage of the depth of experience available in the network. Said one member of a model forest, *The twinning arrangement should be reintroduced, but in a different format. I believe that twinning arrangements helped the model forest during the initial stages but today, I don't think the results are as good as anticipated. Rather than twinning with a single model forest, they should be linked with many other projects.*

It is clear that the demands for information of developing model forests are complex and wide-ranging. No single model forest can possibly offer the full range of specific knowledge and experience that is required. This implies that much better use could be made of *virtual* or electronic networking among model forests. Also, because of the need to build strong personal relationships, it suggests the need for frequent face-to-face opportunities to exchange ideas and build collective trust and confidence. However, any attempts to develop international partnerships of this type have to also consider the costs of travel and translation.

## Conclusions

This assessment was carried out with the participation of the Secretariat staff in order to increase the relevance of the assessment to the work of the Secretariat as well as to foster the utilization of

results following completion of the assessment. It relies heavily on data provided by recipients of IMFNS assistance. This data, collectively, provides a picture of how successful the Secretariat has been in achieving the objectives defined by the Steering Committee and approved by the funders of the Secretariat. The use of *Outcome Mapping* was particularly useful in this regard. It highlights the significant contributions made by the IMFN Secretariat to the successful launch of a number of model forests. It also highlights key lessons for planning future work of the Secretariat and the Network. The assessment contributes to the realization that the model forest program is making a significant contribution not only to forest conservation, but also to the broader development goals in the countries in which model forests are developed.

# Appendix A – Questionnaires

## *Questionnaire for Local Communities*

### Introduction

I would like to start by thanking you for agreeing to be interviewed as part of this evaluation of the International Model Forest Network Secretariat (IMFNS). This evaluation looks at the role the Secretariat has played in developing model forests and examines the impact the Secretariat has had in helping model forest partners attain their goals and approaches. The interview should take approximately 1 hour. Is this still a convenient time for you to be interviewed? [IF NOT, SET UP ANOTHER TIME] I will be recording your responses but I want to assure you that your answers will be kept confidential. I will be asking you questions relating to four topics: your interaction with the IMFNS, the model forest partnership in [country], the work and operation of the [name] model forest, and the operating environment (i.e., political, social) in which the [name] model forest operates. I would first like to verify some information I have to ensure that it is correct and up-to-date.

**Name:**
**Organization/Position/Title:**
**Model Forest:**
**Length of involvement with model forest:**

**Interaction with IMFNS**

I will begin with 7 questions about the support the IMFNS in Ottawa has provided [name] model forest.

1. Have you worked with staff from the IMFNS directly?

   Yes ☐ (GO TO QUESTION 2)
   No ☐ (GO TO QUESTION 4)

2. How long have you been working with IMFNS?

3. How would you describe your interactions with IMFNS?

4. Besides financial support, what has IMFNS done to support the development of the [name] model forest? [PROMPTS: Training offered? Networking with other model forests? Linking with experts? Guidance in strategic and operational planning? Has the Secretariat added any intellectual value and, if so, how has this changed behaviour in the development of [name] model forest?]

5a. Has IMFNS helped the [name] model forest identify and secure financial resources from national or international sources? (PM 12)

   Yes ☐ (GO TO QUESTION 5B)
   No ☐ (GO TO QUESTION 6)

5b. How has IMFNS helped you identify potential funders and/or obtain additional financial resources?

5c. Have you done any other fundraising for the [name] model forest?

6. Have you contacted the IMFNS about new training or extension education opportunities?
Yes (GO TO QUESTION 6B)
No (GO TO QUESTION 7)

6b. Has IMFNS been responsive to your requests for new training or extension education opportunities?
Yes ☐
No ☐
N/A ☐

7. How would you rate the performance of IMFNS in meeting the needs of the [name] model forest? Did IMFNS not meet, somewhat meet, or greatly meet the needs of the [name] model forest? [PROMPT: Why?]
Not Meet ☐
Somewhat Meet ☐
Greatly Meet ☐

**Model Forest Partnership**

I will now ask you 7 questions about the nature of the [name] model forest partnership.

8. Why did you want to get involved with the [name] model forest? [PROMPT: How did you get involved?]

9a. Who is involved in the [name] model forest?

9b. Do you think everyone who should be involved with the [name] model forest is participating? [PROMPT: Is there anyone missing?] (PM 2)

9c. Why do you think they should be involved in the [name] model forest? [PROMPT: What difference would it have made?]

10. How is the partnership for the [name] model forest structured? [PROMPTS: How often are meetings held? [PM1] What is the attendance rate? How are decisions made?] (PM2)

10a. Are you satisfied that your voice and those of the other partners are respected and considered in decision-making? [PROMPT: Why?]

11. Has the [name] model forest partnership changed since it was established? How? [PROMPT: Has the membership expanded? How? Why?] (PM 7)

12. Has your involvement with the [name] model forest changed/modified your attitude about natural resource management? (PM 13) [PROMPT: How?]

13. What have you learned from being involved with the [name] model forest? [PROMPT: New skills? New ideas or practices?] (PM 3)

**Work and Running of the Model Forest**

14a. Have you been involved in a twinning arrangement with a Canadian model forest?

Yes ☐ (GO TO QUESTION 14B)
No ☐ (GO TO QUESTION 15)

14b. Would you say it helped the development of the [name] model forest?
Yes ☐ (GO TO QUESTION 14C)
No ☐ (GO TO QUESTION 14C)
Don't know ☐ (GO TO QUESTION 15)

14c. Why or Why Not?

15. How has the [name] model forest disseminated information about the model forest concept, its activities and/or results locally? [PROMPT: Who was involved and what were their roles?]

16. How has the [name] model forest disseminated information about the model forest concept, its activities and/or results nationally? [PROMPT: Who was involved and what were their roles?] (PM6)

17. How has the [name] model forest disseminated information about the model forest concept its activities and/or results internationally? [PROMPT: Who was involved and what were their roles?] (P10)

18. Besides the local community, who else has been involved with the [name] model forest? [PROMPT: Has there been any networking between the [name] model forest and other model forest sites around the world? Are you satisfied with the various networking opportunities (i.e., tours, exchanges, fora, etc) between model forest sites? Why or why not?]

[SECOND PROMPT: Has there been any networking between the [name] model forest and other non-model forest projects nationally or internationally?

None ☐ (GO TO QUESTION 19)

18a. How did the [name] model forest start working with these institutions and/or people?

18b. What outcomes, opportunities and/or challenges have resulted from these links?(PM 11)

19. Has the [name] model forest been able to influence national, regional, or local policy debates or formulation in the area of natural resource management? [PROMPT: How? Who was involved?] (PM 13, PM 15)

19a. How are things different because of the [name] model forest?

20. Where do you see the [name] model forest five years from now? How will it change things?

**Operating Environment**

As there are always events and factors that influence our programs but which we cannot control, I would like to ask you three final questions about the political, social, and economic context in your country and internationally and how it has helped or hindered the development of the [name] model forest.

21. What would you say are the main political, social, and economic factors that helped the building of the [name] model forest? [PROMPT: Regionally? Nationally? Internationally?]

22. What would you say are the main political, social, and economic factors that hindered the building of the [name] model forest? [PROMPT: Regionally? Nationally? Internationally?]

23. Based on these views, what do you see as the main obstacles and opportunities for continued development of the [name] model forest in your region?

**Conclusion**

24. Do you have any other comments you would like to be included in this interview?

Thank you very much for taking the time to answer these questions.

## QUESTIONNAIRE FOR GOVERNMENT OFFICIALS & POLICY MAKERS

**Introduction**

I would like to start by thanking you for agreeing to be interviewed as part of this evaluation of the International Model Forest Network Secretariat (IMFNS). This evaluation looks at the role the Secretariat has played in developing model forests and examines the impact the Secretariat has had in helping model forest partners attain their goals and approaches. The interview should take approximately 1 hour. Is this still a convenient time for you to be interviewed? [IF NOT, SET UP ANOTHER TIME] I will be recording your responses but I want to assure you that your answers will be kept confidential. I will be asking you questions relating to four topics: your interaction with the IMFNS, the model forest partnership in [country], the work and operation of the [name] model forest, and the operating environment (i.e., political, social) in which the [name] model forest operates. I would first like to verify some information I have to ensure that it is correct and up-to-date.

**Name:**
**Organization/Position/Title:**
**Model Forest:**
**Length of involvement with model forest:**

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**Interaction with IMFNS**

I will begin with 7 questions about the support the IMFNS in Ottawa has provided [name] model forest.

1. Have you worked with staff from the IMFNS directly?

   Yes ☐ (GO TO QUESTION 2)
   No ☐ (GO TO QUESTION 4)

2. How long have you been working with IMFNS?

3. How would you describe your interactions with IMFNS?

4. Besides financial support, what has IMFNS done to support the development of the [name] model forest? [Probe: Training offered? Networking with other model forests? Linking with experts? Assistance with national level advocacy? Has the Secretariat added any intellectual value and, if so, how has this changed behaviour in the development of [name] model forest?]

5. Has IMFNS helped the [name] model forest identify and secure financial resources from national or international sources?

   Yes ☐ (GO TO QUESTION 5A)
   No ☐ (GO TO QUESTION 6)

5a. How has IMFNS helped you identify potential funders and/or obtain additional financial resources?

5b. Have you done any other fundraising for the [name] model forest? [PM9/16]

6. Has IMFNS been responsive to your requests for new training or extension education opportunities?

| | |
|---|---|
| Yes | ☐ |
| No | ☐ |
| Not Applicable | ☐ |

7. How would you rate the performance of IMFNS in meeting the needs of the [name] model forest? Did IMFNS not meet, somewhat meet, or greatly meet the needs of the [name] model forest? [PROMPT:Why?]

| | |
|---|---|
| Not Meet | ☐ |
| Somewhat Meet | ☐ |
| Greatly Meet | ☐ |

**Model Forest Partnership**

I will now ask you 5 questions about the nature of the [name] model forest partnership.

8. Why did you want to get involved with the [name] model forest? [PROBE: How did you get involved?]

9. What have you done to support (i.e., technical, financial, administrative, promotional) the [name] model forest?[PM1/PM2]

10. How is the partnership for the [name] model forest structured? [PROBE: Who is involved? How often are meetings held? [PM3] What is the attendance rate? [PM3] How are decisions made? [PM5]

10a. Has the [name] model forest partnership changed since it was established? [PROMPT: How? Has the membership expanded? How? Why? With these changes, is the working of the [name] model forest easier or more difficult now?]

11. Do you think everyone who should be involved with the [name] model forest is participating? [PROMPT: Is there anyone missing?] [PM5]

11a. Why do you think they should be involved in the [name] model forest? [PROMPT: What difference would it have made?]

12. Has your involvement with the [name] model forest changed/modified your attitude about natural resource management? [PROMPT: How?]

**Work and Running of the Model Forest**

13. Have you been involved in a twinning arrangement with a Canadian model forest?

| | |
|---|---|
| Yes | (GO TO QUESTION 13A) |
| No | (GO TO QUESTION 14) |

13a. Would you say it helped the development of the [name] model forest?

| | | |
|---|---|---|
| Yes | ☐ | (GO TO QUESTION 13B) |
| No | ☐ | (GO TO QUESTION 13B) |
| Don't know | ☐ | (GO TO QUESTION 14) |

13b. Why or Why Not?

14. How has the [name] model forest disseminated information and shared good/bad experiences internally and locally about the model forest concept, its activities and/or results? [PM7]
[PROMPT: Who was involved in the distribution of this information and what were their roles?]

15. How has the [name] model forest disseminated information about the model forest concept, its activities and/or results nationally? (PM7) [PROMPT: Who was involved in the distribution of this information and what were their roles?] [PM6]

16. How has the [name] model forest disseminated information about the model forest concept, its activities and/or results internationally? [PM14]
[PROMPT: Who was involved in the distribution of this information and what were their roles?]

17. Besides the local community, who else has been involved with the [name] model forest? [PROMPT FOR MEXICO ONLY: Has there been any networking between national model forest sites?]

[PROMPT FOR RUSSIA ONLY: Has there been any networking between other SFM projects in Russia?]

None (GO TO QUESTION 18)

17a. Has there been any networking between the [name] model forest and other model forest sites around the world?

None (GO TO QUESTION 18)

17b. How did the [name] model forest start working with these institutions and/or people? [PROMPT: Are you satisfied with the various networking opportunities (i.e., tours, exchanges, fora, etc) between model forest sites? Why or why not?]

17c. What opportunities and/or challenges have resulted from these links? [PM8]

18. How would you describe your level of involvement with the IMFN Steering Committee? [PM10]

19. What kind of information sharing takes place between technical staff at your agency or ministry and staff of the [name] model forest? [PM11]

20. What has been done to promote new ideas on model forest development? [PROMPT: What has been your role?] [PM12]

21. What are your goals for the model forest concept in the country? [PM13] [PROMPT: How? Why? How do you see the [name] model forest five years from now. What will be different?]

22. How do you promote SFM at the ministerial level? [PM4].

22a. How have you been able to use the model forest concept to promote SFM in your country?

23. Do you collaborate with other Ministries/Departments/Agencies/Government Units on SFM?

Yes ☐ (GO TO QUESTION 23A)
No ☐ (GO TO QUESTION 24)

23a. What have been the results of these collaborations? [PM17]

24. What has been done to incorporate model forest principles in national and regional policies and legislation? [PM15]

25. Have non-traditional experts (i.e., other government departments, model forest partners, NGOs, academics or private sector) been involved in policy debates and/or formulation on NRM strategies?

Yes ☐ (GO TO QUESTION 25A)
No ☐ (GO TO QUESTION 26)

25a. Who has been involved in policy debates and/or formulation? [PROMPT: How?][PM18]

26. What have you learned from being involved with the [name] model forest? [PROMPT: New skills? New ideas or practices?]

27. What has changed? How are things different now from when the model forest concept was introduced?

**Operating Environment**

As there are always events and factors that influence our programs but which we cannot control, I would like to ask you 3 final questions about the political, social, and economic context in your country and internationally and how it has helped or hindered the development of the [name] model forest.

28. What would you say are the main political, social, and economic factors that helped the building of the [name] model forest? [PROMPT: Regionally? Nationally? Internationally?]

29. What would you say are the main political, social, and economic factors that hindered the building of the [name] model forest? [PROMPT: Regionally? Nationally? Internationally?]

30. In view of these issues, what do you see as the main challenges and opportunities for the continued development of the model forest concept?

**Conclusion**

31. Do you have any other comments you would like to be included in this interview?

Thank you very much for taking the time to answer these questions.

## QUESTIONNAIRE FOR CANADIAN MODEL FOREST PRACTITIONERS

**Introduction**

I would like to start by thanking you for agreeing to be interviewed as part of this evaluation of the International Model Forest Network Secretariat (IMFNS). This evaluation looks at the role the Secretariat has played in developing model forests and examines the impact the Secretariat has had in helping model forest partners attain their goals and the approaches employed. The interview should take approximately ½ hour. Is this still a convenient time for you to be interviewed? [IF NOT, SET UP ANOTHER TIME] I will be recording your responses but I want to assure you that your answers will be kept confidential. I will be asking you questions relating to the activities and results of the twinning arrangement between [name] model forest and [name] model forest. I would first like to verify some information I have to ensure that it is correct and up-to-date.

**Name:**
**Organization/Position/Title:**
**Model Forest:**
**Twinned with:**
**Length of involvement with model forest:**

1. What activities did the [Canadian] and [name] model forest engage in as part of the twinning arrangement?

2. How did the twinning arrangement support the development of the [name] model forest? [PROBE: Training? New skills? New ideas or perspectives? Networking with other model forests? Linking with experts? Assistance with national level advocacy?]

3. How would you rate the twinning's contribution to the development of the [name] model forest? Did the twinning greatly help, somewhat help or not help the development of the [name] model forest?

   | | |
   |---|---|
   | Not Help | ☐ |
   | Somewhat Help | ☐ |
   | Greatly Help | ☐ |
   | Don't Know | ☐ |

4. Turning to [Canadian] model forest, what were the benefits you derived from participating in the twinning arrangement?

5. What are the main lessons you learned from your experience with the twinning arrangement? [PROBE: Opportunities and Challenges? In terms of international collaborations? In terms of the model forest concept?]

6. How did you get involved in a twinning arrangement with the [name] model forest?

7. Why did you want to get involved in a twinning arrangement with the [name] model forest?

8. Are you still collaborating with the [name] model forest even though the twinning program was discontinued? [PROBE: How?]

9. Do you have any other comments you would like to be included in this interview?

Thank you very much for taking the time to answer these questions.

## QUESTIONNAIRE FOR JAPANESE MODEL FOREST EXPERTS

**Introduction**

I would like to start by thanking you for agreeing to be interviewed as part of this evaluation of the International Model Forest Network Secretariat (IMFNS). This evaluation looks at the role the Secretariat has played in developing model forests and examines the impact the Secretariat has had in helping model forest partners attain their goals. The interview should take approximately 30 minutes. Is this still a convenient time for you to be interviewed? [IF NOT, SET UP ANOTHER TIME] I will be recording your responses but I want to assure you that your answers will be kept confidential. I would like to verify the information I have is correct and up-to-date.

**Name:**
**Organization/Position/Title:**

1. In general, what factors led to the development of [name] model forests in Japan?
2. What was your role in the development of these [name] model forests?

The next question concerns the role that the Secretariat may have played in helping to develop [name] model forests, as well as the impact the Secretariat may have had in helping model forest partners attain their goals.

3. Has the IMFNS provided support to the development of the [name] model forests?

   Yes (GO TO QUESTION 3A)
   No (GO TO QUESTION 4)

3a. What has the IMFNS done to support the development of the [name] model forests? [PROBE: Training offered? Networking with other model forests? Linking with experts?]

3b. How would you rate the performance of IMFNS in meeting the needs of the [name] model forests? Did IMFNS not meet, somewhat meet, or greatly meet the needs of [name] model forests?

   Not meet
   Somewhat meet
   Greatly meet

   [PROBE: Why? What types of support were particularly useful? What could they have done to facilitate the process even more?]

3c. How would you evaluate the importance of IMFNS' support in the development of model forests in your country?

4. What (other) individuals/organizations provided support in the development of [name] model forests? [PROBE: How?]

5. In what ways have the [name] model forests been adapted to fit the local (i.e., social, political) environment?

As there are always events and factors that influence our programs but which we cannot control, I would like to ask you 3 final questions about the political, social, and economic context in your country and internationally and how it has helped or hindered the development of [name] model forests.

6. What would you say are the main political, social, and economic factors that helped the building of model forests in Japan?

7. What would you say are the main political, social, and economic factors that hindered the building of model forests in Japan?

8. In view of these issues, what do you see as the main challenge and opportunities for the continued development of the model forest concept in Japan?

THANK YOU VERY MUCH FOR YOUR INPUT!

# Appendix B – Documents Consulted

## IMFN Secretariat Documents

*Achieving Sustainable Forest Management through Partnership*. Natural Resources Canada, 1999

*Current Situation in Model Forest Development and its Future in Japan*. Presentation given by Ichiro Nagame, Forestry Agency of Japan, IMFNS Forum, October 1999

*IMFN Internal Audit*, IDRC, Ottawa, June 1998

*Learning Partnerships: A Review of IDRC Secretariats*, Jim Armstrong and Anne Whyte, Evaluation Unit, IDRC, 1998

*Model Forests for Field-Level Application of Sustainable Forest Management* – International Workshop, Record of Workshop Discussions. IMFNS, March 1998 (Tokyo. Japan)

*IMFN Development Guide* (September 1999)

*IMFN Newsletter* – Newsletters of the International Model Forest Network (1997, 1998, 1999)

Summary Trip and Management Reports, Briefing Notes, Workplans, Evaluations, and Internal Communication Documents (i.e., e-mails, letters) – Calakmul, Chihuahua and Monarcha (Mexico), Chiloé (Chile) and Gassinski (Russia). Also, Ecuador, Malaysia, Malawi

*Tiedonantoja 100 Research Notes* – Proceedings of the International Workshop held in Petrozavodsk, Russia, June 1999

**Others**

*International Model Forest Network – From Canadian Initiative to International Partnerships*. Jim Armstrong, Robert Auger and Anne Whyte, November 1999

*International Model Forest Network Secretariat (IMFNS) – Case Study*. Jim Armstrong, November 1999

*The Model Forest Files – A Success Story (Draft Copy)*. Richard Baerg, Norwood, Baerg & Associates, April 2000

*Towards a Framework for the New International Model Forest Network*. Jim Armstrong, The Governance Network, April 2000

**Web Sites**

International Model Forest Network
http://www.idrc.ca/imfn/about.html

Canadian Model Forest Network
http://www.modelforest.net